

Mental Health Services Protocol

1. Program Planning and Management for Quality Mental Health Services

How does the grantee ensure that the program is *designed and managed* to ensure that the service of a mental health professional (or professionals) is on a *regular schedule of sufficient frequency* to ensure the *timely and effective identification of and intervention in family and staff concerns* about a child?

1.A Coordination with Community Mental Health Resources

How does the grantee ensure that other community mental health resources are used as needed?

2. Early Identification of Children's Mental Health Needs

How does the grantee ensure that each child receives an *appropriate and timely* (within 45 days of the child's entry into the program) *screening to identify*, using *multiple sources of information*, and *address any behavioral, social, emotional concerns*?

3. Parent Involvement in Children's Mental Health

How does the grantee ensure that staff *works with parents* to *discuss and identify appropriate responses to their children's behavior* including how to *strengthen nurturing, supportive environments and relationships in the home and at the program*?

4. Mental Health Education and Intervention for Parents

How does the grantee ensure that *parents receive mental health education* on issues that place families at risk (including for *pregnant women education and referrals* if needed for *maternal depression and substance abuse*) and other appropriate intervention, including *opportunities to participate in counseling programs*?

5. Special Help for Children's Individualized Mental Health Needs

How does the grantee ensure that parents, program staff, and the mental health professional design and implement program practices that are *responsive to the identified behavioral and mental health concerns of an individual or group of children* including providing *special help to children with atypical behavior*?

Mental Health Services Protocol Worksheet

1. Program Planning and Management for Quality Mental Health Services

How does the grantee ensure that:

- **the program is designed and managed to ensure that the service of a mental health professional (or professionals) is on a regular schedule of sufficient frequency to ensure the timely and effective identification of and intervention in family and staff concerns about a child?**

1304.24(a)(2); 1304.24(a)(3)(ii)

1304.21(c)(1)(iii); 1304.51(a)(1)(iii); 1304.51(g)-(h)(1); 1304.51(i)(1); 1304.52(a)(1); 1304.52(a)(2)(ii); 1304.52(b)(1); 1304.52(d); 1304.52(d)(4); 1304.52(j)(3); 1304.52(k)(1); 1308.18(b)

Document Review:

- Review any contracts, or employee job descriptions for mental health professionals. Look for:
 - any posted on-site schedule of the mental health professional;
 - evidence that program self-assessment has resulted in modifications to the contract when necessary; and
 - evidence that the mental health professional has license/certification and experience and expertise serving young children and their families (per 1304.52(d)(4)). If the program has been unsuccessful in locating a mental health professional with birth to three expertise, is their evidence that shows how the program is supporting the MH provider to engage in learning experiences in the area of infant mental health?
- Review job descriptions or contracts for evidence of staff and parent input on the services the mental health professional provides. Note any evidence of opportunities to staff and parents to share their mental health or behavioral concerns about their child with the mental health professional.
- Review any interagency agreements with community partners providing mental health services for the program.
- Review records of mental health services provided.
 - Do administrative/policy records demonstrate attention to and support of mental health services? (Records of policy council, budgets, staffing, training)
 - Does the program self-assessment address the usefulness, sufficiency, and timeliness of the mental health service?

Interview:

- Ask staff about their access to the mental health professional (including frequency of assistance for mental health promotion activities, as well as in times of crisis). What do they know about the type of mental health services available? How would they request mental health information/assistance for a child or family they serve? How timely are services accessed and/or is consultation provided? How is mental health integrated into the curriculum?
- Interview parents to determine if any mental health related concerns they have had have been responded to in a timely manner, i.e. have their children received timely and effective intervention for any mental health related concerns?
- Interview the Disabilities Services Coordinator to determine how the mental health professional has collaborated with the Disabilities Services Coordinator?
- Interview with mental health professional regarding their role.
 - How are you involved in the planning/review of mental health services?
 - Is the schedule of services frequent enough to be familiar with the program, staff, and needs of children and to provide the consultation and services needed in a timely fashion?
 - How has the program responded to any recommendations you have made on program-wide practices that could improve mental health services?
 - How are you involved in mental health promotion activities?

Observation:

- If possible, observe a consultation to direct service staff (teacher/home visitors, etc.).
- Review information from classroom observations regarding teacher's knowledge/skill in addressing behavioral/mental health concerns and in practices that promote mental health.

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How does the grantee ensure that: the program is designed and managed to ensure that the service of a mental health professional (or professionals) is on a regular schedule of sufficient frequency to ensure the timely and effective identification of and intervention in family and staff concerns about a child?

	<i>SUGGESTED SOURCES</i>	<i>ACTUAL SOURCES</i>
Documents Reviewed	<i>Contracts or employee job descriptions</i> <i>Posted schedule for mental health professional</i> <i>Interagency agreements with community partners</i> <i>Records of mental health services provided</i> <i>Program service plans</i> <i>Self-assessment</i>	
Persons Interviewed	<i>Staff about access to mental health professional</i> <i>Parents</i> <i>Mental health professional</i> <i>Mental health manager or supervisor who has responsibility for mental health</i>	
Program Services Observed	<i>If possible, consultation to direct service staff</i> <i>Information from classroom observations</i>	

Relevant Regulations (1304.24(a)(2); 1304.24(a)(3)-(ii))

1304.24 Child mental health.

(a) *Mental health services* (2) Grantee and delegate agencies must secure the services of mental health professionals on a schedule of sufficient frequency to enable the timely and effective identification of and intervention in family and staff concerns about a child's mental health; and (3) Mental health program services must include a regular schedule of onsite mental health consultation involving the mental health professional, program staff, and parents on how to: ... (ii) Promote children's mental wellness by providing group and individual staff and parent education on mental health issues;

1.A. Coordination with Community Mental Health Resources

How does the grantee ensure that:

- **other community mental health resources are used as needed?**

1304.24(a)(3)(iv); 1304.41(a)(2)(ii)

1304.41(a)(1)-(2); 1304.41(c)(1)(ii)

Document Review:

- Review program service plans.
- Review any interagency agreements with community partners providing mental health services for the program.
- Review lists of members on any relevant advisory committees to note possible community mental health resources as partners (e.g., Health Services Advisory Committee). If relevant, review meeting minutes to note evidence of community mental health resources participating as partners.

Interview:

- Interview community partners, ask policy groups about planning and coordination with mental health resources.
- Interview family service staff and the mental health professional on their knowledge of relevant mental health community services.
 - Do they have specific knowledge necessary to make a successful referral?
 - Has the program identified partners who have special focus such as domestic violence, substance abuse, maternal depression, and infant mental health?
 - Has the program sought partners with cultural competence in mental health services for families from diverse cultures?
 - Is staff knowledgeable of resources, including insurance systems that must be navigated to secure more extensive mental health services?
 - Is the mental health professional knowledgeable/experienced in coordinating with community mental health providers?

Observation:

- Observe any relevant displays or available materials for families providing information and education on community mental health resources.

1.A. Coordination with Community Mental Health Resources

How does the grantee ensure that: other community mental health resources are used as needed?

	<i>SUGGESTED SOURCES</i>	<i>ACTUAL SOURCES</i>
Documents Reviewed	<i>Program service plans</i> <i>Interagency agreements with community partners</i> <i>Resource lists of community services for specialized services (e.g. domestic violence, substance abuse, mental health, crisis intervention)</i> <i>Lists of members on any relevant advisory committees</i>	
Persons Interviewed	<i>Community partners</i> <i>Policy groups</i> <i>Family service staff</i>	
Program Services Observed	<i>Relevant displays or available materials for families on mental health resources</i>	

Relevant Regulations (1304.24(a)(3)(iv); 1304.41(a)(2)(ii))**1304.24 Child mental health.**

(a) *Mental health services* (3) Mental health program services must include a regular schedule of onsite mental health consultation involving the mental health professional, program staff, and parents on how to: ... (iv) Utilize other community mental health resources, as needed.

1304.41 Community Partnerships

(a) *Partnerships* (2) Grantee and delegate agencies must take affirmative steps to establish ongoing collaborative relationships with community organizations to promote the access for children and families to community services...including: (ii) Mental health providers

2. Early Identification of Children's Mental Health Needs

How does the grantee ensure that:

- **each child receives an appropriate and timely (within 45 days of the child's entry into the program) screening to identify, using multiple sources of information, and address any behavioral, social, emotional concerns?**

1304.20(b)(1)-(3)

1304.20(a)(1)(ii)-(iv); 1304.20(d); 1304.20(f)(1); 1304.21(a)(3)(i)(A)-(E); 1304.21(b)(1)(i)-(ii); 1304.21(b)(2)(i); 1304.21(c)(1)(iv)-(vi)

Document Review:

- Review record of completing screening within required time frame.
- Review how decisions on need for further evaluation are made, communicated with parents, and tracking the receipt of services.
- Review record keeping – does the program protect confidentiality and yet promote use of information by those who need to know it and apply it?
- Review records to determine how multiple sources of data are used to identify and address social, emotional, and/or behavioral concerns (other sources of data may include: developmental history, health history, observations, family functioning, family input, etc.).
- Review screening tool for reliability and validity (i.e. does the screening tool appropriately screen for social, emotional, and behavioral concerns?).

Interview:

- Interview the mental health professional to determine how the screening instruments are selected, used, how effective they are and how the results of the screening are used to inform practice.
 - Did the selection of the screening tool and the interpretation of the screening results take into consideration factors related to cultural, linguistic, and age appropriateness?
 - How does the program ensure timely referrals for further assessment and treatment if needed?
 - How does the mental health professional solicit and share ideas on how to address children's mental health needs (with staff and parents)?
- Interview teachers to determine how the program supports children's emotional and social development; how the home language is supported and respected; and how emotional security is promoted for infants and toddlers.
- Interview Early Head Start teachers to determine evidence of consistent teachers over an extended period of time.

Observation:

- If possible ask a person involved in the screening procedure to demonstrate the screening.
- Record-keeping system – how do you protect confidentiality and promote use of information needed?
- Observe information related to social/emotional development on the Classroom Observation Form item #4.
- Observe teacher/child interaction for examples of responsive and communication to encourage the development of trust, self-esteem, and identity - these may include smiling at the child, comforting an infant in distress, providing reassurance, acknowledging the child's feelings, encouraging problem solving and cooperation.
- Observe the teachers setting age-appropriate limits.

2. Early Identification of Children's Mental Health Needs

How does the grantee ensure that: each child receives an appropriate and timely (within 45 days of the child's entry into the program) screening to identify, using multiple sources of information, and address any behavioral, social, emotional concerns?

	<i>SUGGESTED SOURCES</i>	<i>ACTUAL SOURCES</i>
Documents Reviewed	<i>Records of screening (including multiple sources of information, Screening tool Records of screening follow-up Curriculum Procedures to identify new or recurring concerns</i>	
Persons Interviewed	<i>Mental health professional Teachers Managers</i>	
Program Services Observed	<i>If possible, watch demonstration of screening, Record-keeping system, Classroom Observation Form</i>	

Relevant Regulations (1304.20(b)(1); 1304.20(b)(2); 1304.20(b)(3))

1304.20 Child health and developmental services. (b) *Screening for developmental, sensory, and behavioral concerns.*

(1) In collaboration with each child's parent, and within 45 calendar days of the child's entry into the program, grantee and delegate agencies must perform or obtain linguistically and age appropriate screening procedures to identify concerns regarding a child's developmental, sensory (visual and auditory), behavioral, motor, language, social, cognitive, perceptual, and emotional skills (see 45 CFR 1308.6(b)(3) for additional information). To the greatest extent possible, these screening procedures must be sensitive to the child's cultural background. (2) Grantee and delegate agencies must obtain direct guidance from a mental health or child developmental professional on how to use the findings to address identified needs. (3) Grantee and delegate agencies must utilize multiple sources of information on all aspects of each child's development and behavior, including input from family members, teachers, and other relevant staff who are familiar with the child's typical behavior.

3. Parent Involvement in Children's Mental Health

How does the grantee ensure that:

- **staff works with parents to discuss and identify appropriate responses to their children's behavior including how to strengthen nurturing, supportive environments and relationships in the home and at the program?**

1304.24(a)(1)(i)-(vi)

1304.20(c)(1); 1304.20(e)(2)-(3); 1304.40(f)(1); 1304.40(f)(4)(i)-(iii)

Document Review:

- Review service plans for mental health for evidence of parent education and support to strengthen environments and relationships.
- Review child records for parent participation on any needed mental health interventions.
- Review staff handbook, training, procedures for information on child guidance with particular attention to information on age appropriate social behaviors, varying temperaments, realistic behavioral expectations for young children, setting appropriate limits and opportunities to encourage self-discipline.
- Review parent education materials and training agendas/attendance rosters (including materials and training topics to help parents better understand mental health issues and identify appropriate responses to children's behavior).
- Review home visitor protocols/curricula.

Interview:

- Interview teachers and home visitors to determine how they and parents share positive approaches on responding to/guiding children's behavior.
 - Does the program help parents to understand the range of behaviors they might experience with their child, and when there may be cause for concern? Does the program help parents to understand how their own mental health is connected to and impacts on their child's mental health?
- Interview family service, teaching staff and parents to determine how staff assists parents to strengthen relationships and environments.
- Interview family service, teaching staff and parents to determine parent's active involvement in their children's mental health services.
- Interview the mental health professional to determine how she/he solicits and shares ideas on how to address children's mental health needs (with staff and parents)?

Observation:

- Observe how home visitors encourage/support parents to respond to their children in a way that supports the development of trust, self-esteem and identity.
- Observe family service and/or teachers with parents (if possible) to see evidence of staff sharing child observations and/or discussing and anticipating with parents their child's behavior and development.
- Does the program have space for meetings with parents which allow privacy conducive to discussing sensitive issues?

3. Parent Involvement in Children's Mental Health

How does the grantee ensure that: staff works with parents to discuss and identify appropriate responses to their children's behavior including how to strengthen nurturing, supportive environments and relationships in the home and at the program?

	<i>SUGGESTED SOURCES</i>	<i>ACTUAL SOURCES</i>
Documents Reviewed	<i>Program service plans Staff handbook, training, procedures Parent education materials Training agendas Home visitor protocols/curricula</i>	
Persons Interviewed	<i>Teachers Home visitors Parents Family Service Staff</i>	
Program Services Observed	<i>Teacher/child interaction Home visitors encouraging parents Family service workers, teachers, and home visitors providing, sharing, and soliciting information from parents about children's mental health and development</i>	

Relevant Regulations (1304.24(a)(1)(iii); 1304.24(a)(1)(i)-(vi))

1304.24 Child mental health.

(a) *Mental health services.* (1) Grantee and delegate agencies must work collaboratively with parents (see 45 CFR 1304.40(f) for issues related to parent education) by: (i) Soliciting parental information, observations, and concerns about their child's mental health; (ii) Sharing staff observations of their child and discussing and anticipating with parents their child's behavior and development, including separation and attachment issues; (iii) Discussing and identifying with parents appropriate responses to their child's behaviors; (iv) Discussing how to strengthen nurturing, supportive environments and relationships in the home and at the program; (v) Helping parents to better understand mental health issues; and (vi) Supporting parents' participation in any needed mental health interventions.

4. Mental Health Education and Intervention for Parents

How does the grantee ensure that:

- **parents receive mental health education on issues that place families at risk (including, for pregnant women, education and referrals if needed for maternal depression and substance abuse) and other appropriate intervention, including opportunities to participate in counseling programs?**

1304.40(b)(1)(ii); 1304.40(c)(1)(iii); 1304.40(c)(2)

1304.24(a)(3)(ii); 1304.40(b)(1); 1304.40(b)(2); 1304.40(f)(1); 1304.40(f)(4)(i)-(iii)

Document Review:

- Review the schedule of parent education activities for content related to mental health services. Were these covered: substance abuse, domestic violence, mental health issues for pregnant women?
 - How were topics and presenters selected? Are there any evaluation/satisfaction reports? Did parents regard education activities as useful? Did the program conduct any follow-up activities with individuals or groups of parents?
- What procedures are in place to prompt or guide program staff serving pregnant women on mental health concerns including maternal depression?
- Review any relevant resource books or lists of counseling programs, support groups, community resources, and/or prevention programs. Determine how the staff works with parents to identify and continually assess referrals, services, and resources to ensure they are responsive to individual family interests and goals.
- Review relevant child/family records to see evidence of referrals for families for counseling, substance abuse treatment, maternal depression, etc.

Interview:

- Interview family service staff; probe on how they have been trained/supported in identifying and responding to mental health concerns for parents/families and how they follow-up with families to determine whether referrals met families' expectations and circumstances.
- Interview with focus family: Are mental health issues covered in parent education? Does the family perceive the Head Start program as a safe and caring place where they can raise possible mental health concerns their family may be facing with the expectation the program will try to help them?

Observation:

- Do information displays communicate that the program is interested and able to provide support on mental health concerns, including domestic violence, substance abuse, etc.?
- Does the program have space for family services/meetings which allow privacy conducive to discussing sensitive issues?
- Observe a parent support/education meeting and note opportunities provided to address mental health topics including preventive education, reducing risks, and accessing mental health services.
- Observe home visit for attention/responsiveness to mental health issues facing families.

4. Mental Health Education and Intervention for Parents

How does the grantee ensure that: parents receive mental health education on issues that place families at risk (including, for pregnant women, education and referrals if needed for maternal depression and substance abuse) and other appropriate intervention, including opportunities to participate in counseling programs?

	<i>SUGGESTED SOURCES</i>	<i>ACTUAL SOURCES</i>
Documents Reviewed	<i>Schedule of parent education activities</i> <i>List of trainings offered to parents</i> <i>Program service plans</i> <i>Relevant resource books or lists of counseling programs</i> <i>Relevant child/family records</i>	
Persons Interviewed	<i>Family Partnership staff</i> <i>Focus family</i>	
Program Services Observed	<i>Information displays</i> <i>Program space for confidential meetings</i> <i>Parent support/education meeting</i> <i>Home visit</i>	

Relevant Regulations (1304.40(b)(1)(ii); 1304.40 (c)(1)(iii); 1304.40(c)(2))

1304.40 Family partnerships. (b) *Accessing community services and resources.* (1) Grantee and delegate agencies must work collaboratively with all participating parents to identify and continually access, either directly or through referrals, services and resources that are responsive to each family's interests and goals, including: (ii) Education and other appropriate interventions, including opportunities for parents to participate in counseling programs or to receive information on mental health issues that place families at risk, such as substance abuse, child abuse and neglect, and domestic violence; (c) *Services to pregnant women who are enrolled in programs serving pregnant women, infants, and toddlers.* (1) Early Head Start grantee and delegate agencies must assist pregnant women to access comprehensive prenatal and postpartum care, through referrals, immediately after enrollment in the program. This care must include: (iii) Mental health interventions and follow-up, including substance abuse prevention and treatment services, as needed. (2) Grantee and delegate agencies must provide pregnant women and other family members, as appropriate, with prenatal education on fetal development (including risks from smoking and alcohol), labor and delivery, and postpartum recovery (including maternal depression).

5. Special Help for Children's Individualized Mental Health Needs

How does the grantee ensure that:

- **parents, program staff and the mental health professional design and implement program practices that are responsive to the identified behavioral and mental health concerns of an individual or group of children including providing special help to children with atypical behavior?**

1304.24(a)(3)(i)

1304.24(a)(3)(iii)

Document Review:

- Do program plans/documents describe a systematic approach to addressing mental health that clearly communicates to staff and parents what services are available and how to access them? Is there a system in place for mental health screenings and assessment? Is there a system of referral and follow-up that incorporates the mental health needs of infants and toddlers?
- Are there reports from the mental health professional, based on observations of classroom/home visiting practices that provide mental health guidance for staff/parents on improving mental health practices?
- Are there contingency plans for addressing mental health issues associated with traumatic events affecting the program, for enrolled families, or in the wider community? Are their contingency plans for psychiatric emergencies for i.e., child/adult threatening or attempting to harm self or others?
- Do IEPs/IFSPs include behavioral/mental health services for children with disabilities who have these needs?
- Review any individualized plans or reports related to mental health or behavioral concern for a child and/or group of children (this may include behavior or treatment plans, report recommendations, classroom charts, individualized visual schedules, etc.).

Interview:

- Interview staff to identify the process for screening and assessment of the mental health needs of individual children.
 - How would you request and receive mental health consultation on child guidance techniques for a child with identified concerns?
 - Do staff and parents understand and recognize the interconnectedness of adult and infant/toddler mental health?
 - How does the mental health professional solicit and share ideas on how to address children's mental health needs (with staff and parents)?
- For a child who has been identified as needing individualized mental health /behavioral services:
 - Have you received training, extra supervision, mental health consultation on addressing the mental health/behavioral needs of this child? Describe this. Was it helpful? Adequate? Describe the family involvement. What is the record-keeping system for referrals and tracking provision of services? Who follows-up on referrals?

Observation:

- Observe children and teacher's behaviors to note any relevant evidence of program practices that are responsive or not responsive to the behavioral or mental health needs of the children.
- If possible observe any consultation between the mental health professional and parents and/or staff. Note any evidence of parent and staff providing input into the design or implementation of mental health services. Note evidence of parents or staff sharing their concerns with the mental health professional.

5. Special Help for Children's Individualized Mental Health Needs

How does the grantee ensure that: parents, program staff and the mental health professional design and implement program practices that are responsive to the identified behavioral and mental health concerns of an individual or group of children including providing special help to children with atypical behavior?

	<i>SUGGESTED SOURCES</i>	<i>ACTUAL SOURCES</i>
Documents Reviewed	<i>Program service plan Reports from mental health professional Contingency plan for addressing mental health issues IEP/IFSP Individualized plans</i>	
Persons Interviewed	<i>Program staff Parents</i>	
Program Services Observed	<i>Children and teacher's behaviors If possible, consultation between mental health professional and parents and/or staff</i>	

Relevant Regulation (1304.24(a)(3)(i))

1304.24 Child mental health. (a) *Mental health services* (3) Mental health program services must include a regular schedule of on-site mental health consultation involving the mental health professional, program staff, and parents on how to: (i) Design and implement program practices responsive to the identified behavioral and mental health concerns of an individual child or group of children;